NORTHESTERN UNIVERSITY

CAS Faculty Handbook

Reappointment, Promotion, and Tenure

In September or early October, the Dean's Office sends to each department chairman the names of the faculty members for whom the department must make recommendations about reappointment, promotion, or tenure during that year, and the names of many other faculty members for whom such recommendations are optional. Early in the fall quarter, the chairman gathers relevant information from each candidate. An appropriate departmental committee considers this record. This committee's deliberations issue in a vote and a written recommendation to the Dean. The department chairman informs the candidate of the action taken by the departmental committee.

Although a recommendation of promotion or the grant of tenure usually originates with a department, any instructor, assistant professor, or associate professor may address a personal request to the Dean to the effect that promotion or tenure procedures be commenced on his or her behalf.

Recommendations on reappointment involving promotion or tenure. The detailed form of a departmental recommendation regarding promotion and tenure is prescribed in *The Chairman's Handbook*. The dossier, to be gathered by the department and forwarded to the Dean's Office in November, includes:

- A detailed *curriculum vitae;*
- A letter from the department chairman specifying the vote of the appropriate departmental committee and supporting that committee's recommendation in detail, with comments about all aspects of the candidate's teaching, research, and service.

If the recommendation is positive, the dossier also includes:

- The names of two groups of possible referees: one group capable of assessing the candidate's scholarship, and one group (including former students) capable of assessing the candidate's teaching;
- Three copies of each of the candidate's publications or other works; three copies of each published review of the candidate's work; one set of reports of student evaluations, class syllabuses, examinations, etc.

Departments are asked to include with this material the names of three scholars with whom external referees will be invited to compare the candidate; these names, although they are useful, are not required.

The confidential faculty committee. Late in the fall quarter, each positive recommendation, together with supporting material, is forwarded to a small confidential *ad hoc* faculty committee, appointed by the Dean from departments other than the candidate's own. This committee considers all of the materials submitted and, through the Dean's agency, solicits the opinions of external referees, writing to persons on the list submitted in the chairman's letter and to others designated by the committee or the Dean. After assessing the candidate's record, so gathered, the *ad hoc* committee submits a written report to the Dean, usually by late February.

The chairman of the candidate's department and members of the appropriate departmental committee are entitled to read the committee's report (edited so that the anonymity of the *ad hoc* committee and its correspondents is maintained), and the department chairman informs the candidate of the report's substance. If the department wishes to write a reply to the committee's report, it may do so.

Recommendations by the Committee on Promotions and Tenure and the Dean. Early in the spring quarter, the eighteen-member Committee on Promotions and Tenure, elected by the faculty, considers candidates for promotion to tenure and for promotion to the rank of professor, and by formal vote makes a recommendation about each to the Dean. (See section on *The Faculty: Membership and Committees*, below, for this committee's composition, election, etc.) The committee reviews each candidate's complete dossier: the materials originally submitted by the department chairman, the comments of external referees (edited as above), the report of the confidential *ad hoc* faculty committee (similarly edited), and the department's reply to the committee's report (if any).

The committee considers all of the candidates before voting on any one of them. During this initial consideration, the committee may, according to faculty legislation, invite a departmental delegation to appear on behalf of a candidate. After voting by ballot, the committee sends its recommendations to the Dean, usually toward the middle of the spring quarter. On the basis of all of the material thus submitted, the Dean sends a recommendation about each candidate to the Provost and informs each candidate of that recommendation. Every effort is made to have recommendations in the hands of the Provost and the candidates by the latter part of May.

Reappointment, promotion, and the grant of tenure normally take effect at the beginning of the next fiscal year—that is, on the following September 1. A decision by the Dean to recommend against the granting of tenure leads to an offer of a terminal year beginning on the same date. When the Dean sends the Provost a negative recommendation about a candidate, the Dean invites the candidate to a private meeting in order to discuss the reasons for the negative

recommendation. If, after that meeting, the candidate writes to the Dean requesting a written statement of those reasons, the Dean writes such a statement.

The Dean's recommendations are subject to review by the Provost. A candidate's appeal from a recommendation by the Dean is addressed to the University Faculty Reappointment, Promotion and Tenure Appeals Panel. The procedure is outlined in the *NU Faculty Handbook*, pages 13-14.

EXHIBIT F

NU

Faculty Handbook

Responsibilities and Benefits of Faculty Membership at Northwestern University

Tenure

Tenure is signified by an appointment for an indefinite period. Service in the regular faculty ranks of instructor, associate, assistant professor, associate professor, and professor will be counted toward the acquisition of tenure.

Service at another institution does not count toward the acquisition of tenure at Northwestern. Otherwise, the University adheres to the principles of the American Association of University Professors in recognizing that tenure at Northwestern is acquired after seven years of full-time paid service in a regular faculty rank, unless notice is given not later than the end of the sixth year to the effect that no appointment will be made after the seventh year. Service as a visiting faculty member is not counted toward tenure. Upon written request a faculty member prior to taking a leave of absence may petition that leave time does not count toward tenure. Any faculty member in doubt as to the status of his or her tenure should make inquiry of the Dean, or the Office of the Provost.

Tenured faculty members are subject to removal by the Board of Trustees for grave misconduct or neglect of duty. The University adheres to AAUP principles with regard to procedures for dismissal.

Promotion and Tenure Procedures

Procedures concerning promotion and tenure vary from school to school within the University. Procedures governing promotion and tenure review for each school are available in written form from the Office of the Dean of that school. In all cases, promotion and tenure decisions call for faculty committee evaluation and recommendation, followed by a

recommendation by the Dean of the school to the Office of the Provost.

Assistant Professors. A decision regarding the future of an assistant professor at the University is usually made at the end of the individual's second year of full-time service. The individual's record is carefully considered, with regard to both teaching and research abilities, and the relative quality of academic and professional achievements. If retention is desired, the individual may be offered another appointment as assistant professor or promoted to an associate professorship. A tenure decision regarding an assistant professor at the University is made before the end of his second term as assistant professor or before the expiration of six years of full-time service in all regular ranks, whichever comes first.

Associate Professors. Upon completion of the initial period as an associate professor, a faculty member may be reappointed to that rank for a definite or indefinite period or may be promoted to the rank of professor for an indefinite period. A decision regarding tenure is made before the expiration of six years of full-time service in all regular faculty ranks.

Professors. All professors are placed on indefinite tenure, except in unusual circumstances.

Notice of Release. If a faculty member in a tenure-accumulating rank is to be released at the expiration of his appointment, notice of such intended release is given a year in advance of the expiration of the appointment, except in the case of one-year appointments.

Appeal Procedures

After appropriate faculty committee review and recommendation, the Dean of a school may decide to recommend against reappointment, promotion or tenure for a faculty member. If so, the Dean will simultaneously notify the affected faculty member and the Provost. If the faculty member feels that there has been inadequate consideration of his case for reappointment, for promotion, or for tenure, or that there has been a violation of academic freedom in the decision process, he may, within six months from the date of initial notification, file an appeal with the University Faculty Reappointment, Promotion, and Tenure Appeals Panel. He must at the same time notify the Provost that he has filed such an appeal. Upon receiving this notification, the Provost will defer his own decision on the matter until he has received the recommendation of the University Faculty Reappointment, Promotion, and Tenure Appeals Panel.

EXHIBIT G

G-1

NORTHWESTERN UNIVERSITY
COLLEGE OF ARTS AND SCIENCES

Rudolph H. Weingartner
Dean

Rebecca Crown Center
Evanston, Illinois 60201
Telephone (312) 492-3276

May 5, 1980

Miss Janet Lever
Department of Sociology
Evanston Campus

Dear Miss Lever:

I am sorry that I must inform you that I shall not recommend to the Provost that you be promoted to the rank of associate professor. I therefore offer you a final year at Northwestern as assistant professor of sociology, terminating August 31, 1981.

This decision was reached with the advice of a faculty *ad hoc* committee and of the College of Arts and Sciences Promotions and Tenure Committee and is based on a careful review of your scholarship and teaching. It does not imply that your work here has been unsatisfactory; rather, it reflects the high expectations we have, in both of these areas, of anyone to whom a permanent position in the College of Arts and Sciences is to be offered.

Should you wish to discuss this decision with me, I should be glad to meet with you in the near future. In any case, please send me a note informing me whether you accept appointment for the terminal year mentioned above.

Please be assured that we are most grateful for the contributions you have made to Northwestern University.

Sincerely yours,

/s/ RUDOLPH H. WEINGARTNER

Rudolph H. Weingartner

RHW:esg

cc: Mr. Feldman
Miss Ray

EXHIBIT H

NORTHWESTERN UNIVERSITY
COLLEGE OF ARTS AND SCIENCES

Rudolph H. Weingartner
Dean

Rebecca Crown Center
Evanston, Illinois 60201
Telephone (312) 492-3276

May 14, 1980

Miss Janet Lever
Department of Sociology
Evanston Campus

Dear Miss Lever:

You may know that the Department of Sociology has appealed to me to reconsider my recommendation to the Provost concerning your promotion. The enclosed letter is my response to that request.

While the letter probably explains itself, I want to make one comment concerning timing.

I am sure that you -- and everyone else concerned -- would prefer to have knowledge of the outcome of the process here being recommended well before February 1, 1981. I indicate so late a date, simply because I cannot control the speed with which I can have evaluations made of a manuscript, particularly around the end of the year. I shall make every effort to

have word to you before then and would of course be much helped by having your manuscript as early as a final draft can be completed.

There may still be matters you will want to talk with me about concerning your promotion; let me know if you want to get together, as suggested in my letter to you of May 5.

Sincerely yours,

/s/ RUDOLPH H. WEINGARTNER

Rudolph H. Weingartner

RHW:esg

cc: Raymond W. Mack
Arnold S. Feldman

EXHIBIT I

NORTHWESTERN UNIVERSITY
COLLEGE OF ARTS AND SCIENCES

Rudolph H. Weingartner
Dean

Rebecca Crown Center
Evanston, Illinois 60201
Telephone (312) 492-3276

January 15, 1981

Professor Arnold S. Feldman
Department of Sociology
Evanston Campus

Dear Ackie:

On May 14, 1980, I wrote to you that on the basis of a further scrutiny of Miss Janet Lever's promotion dossier, I remained unable to overrule the recommendation of the CAS Promotion and Tenure Committee in connection with her promotion. At the same time, I agreed to take up this issue one more time if I were given the opportunity to have a completed book-length manuscript evaluated.

As you know, a complete draft of *Soccer in Brazil* was submitted to the Dean's Office by November 1, thus enabling me to have Miss Lever's book-length manuscript evaluated by authorities from outside the University.

I must now inform you that on the basis of these evaluations — in the context of all of the evaluations of her work as these were compiled in the course of our promotions procedure — I am still unable to reverse the recommendation of the College's Promotion and Tenure Committee. I must thus confirm my recommendation to the Provost that Miss Lever not be promoted to the rank of associate professor.

I do not enjoy making negative decisions, especially not in the face of contrary views by faculty members whose opinions I respect greatly. I believe my decision to be correct, however, and must therefore ask you to inform your colleagues of this conclusion.

Cordially,

/s/ RUDY

RHW:esg

cc: Provost Raymond W. Mack
Miss Janet Lever

bcc: S. Bates, R. Ray

EXHIBIT J

NORTHWESTERN UNIVERSITY
COLLEGE OF ARTS AND SCIENCES

Rudolph H. Weingartner
Dean

Rebecca Crown Center
Evanston, Illinois 60201
Telephone (312) 492-3276

January 15, 1981

Professor Janet Lever
Department of Sociology
Evanston Campus

Dear Miss Lever:

The enclosed letter to Mr. Arnold S. Feldman is my formal response to the Department of Sociology's appeal to me to reconsider my recommendation to the Provost concerning your promotion.

I am sorry that my conclusion had to be in the negative, that I am not able to reverse, in my recommendation, the recommendation made to me by the CAS Promotion and Tenure Committee.

As I wrote in my letter of May 5, 1980, this negative judgment by no means implies that your work here has been unsatisfactory; rather, it reflects the high expectations we have of anyone to whom a permanent position in the College of Arts and Sciences is to be offered.

My best wishes and assistance in your search for an alternative position.

Sincerely yours,

/s/ RUDOLPH H. WEINGARTNER

Rudolph H. Weingartner

RHW:esg

cc: Provost Raymond W. Mack
Arnold S. Feldman

bcc: S. Bates, R. Ray

EXHIBIT K

February 12, 1981

Professor Janet Lever
Department of Sociology
Evanston Campus

Dear Professor Lever:

I am writing in response to your appeal of the decision in the College of Arts and Sciences not to recommend you for promotion and tenure.

I have studied your personnel file and the entire file dealing with your promotion, including the *ad hoc* committee report, letters from other scholars and letters from students. I have also talked with people involved in the decision.

I find no evidence of inadequate consideration, nor do I find any evidence suggesting a violation of academic freedom.

As you are aware, the *ad hoc* committee report is negative in tone and positive in conclusion. The personnel committee was divided. Some of the outside letters and manuscript reviews were positive; some were not.

After reviewing the evidence, I do not feel that I am justified in reversing the decision of the Dean not to recommend your promotion to tenure at Northwestern University.

If you feel I can be of any help to you, I will of course be glad to talk with you.

Sincerely,

Raymond W. Mack

cc: Dean Weingartner